



9200/1754 DAC

PTO/SB/21 (09-04)
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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	10/027,753	
	Filing Date	12/21/2001	
	First Named Inventor	Colbert et al.	
	Art Unit	4761	
	Examiner Name	Peter J. Lish	
Total Number of Pages in This Submission	8 +	Attorney Docket Number	11321-P011C1D4

ENCLOSURES (Check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to TC
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input checked="" type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	1) postcard
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	2) attachments to Petition
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Reply to Missing Parts/Incomplete Application	<input type="checkbox"/> Landscape Table on CD	
<input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	Remarks	

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT			
Firm Name	Winstead Sechrest & Minick P.C.		
Signature			
Printed name	Ross Spencer Garsson		
Date	May 17, 2005	Reg. No.	38,150

CERTIFICATE OF TRANSMISSION/MAILING			
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.			
Signature			
Typed or printed name	Wanda Kellar	Date	May 17, 2005

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



FEE TRANSMITTAL for FY 2005

Effective 10/01/2004. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 130.00

Complete if Known

Application Number	10/027,753
Filing Date	December 21, 2001
First Named Inventor	Colbert et al.
Examiner Name	Peter J. Lish
Art Unit	4761
Attorney Docket No.	11321-P011C1D4

METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☐ Deposit Account:

Deposit Account Number: 23-2426
Deposit Account Name: Winstead Sechrest & Minick P.C.

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	790	2001	395	Utility filing fee	
1002	350	2002	175	Design filing fee	
1003	550	2003	275	Plant filing fee	
1004	790	2004	395	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)				(\$) 0.00	

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

		Extra Claims		Fee from below		Fee Paid
Total Claims	<input type="text"/>	-57** =	<input type="text"/>	X	<input type="text"/>	
Independent Claims	<input type="text"/>	-7** =	<input type="text"/>	X	<input type="text"/>	<input type="text"/>
Multiple Dependent	<input type="text"/>		<input type="text"/>		<input type="text"/>	<input type="text"/>

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	88	2201	44	Independent claims in excess of 3	
1203	300	2203	150	Multiple dependent claim, if not paid	
1204	88	2204	44	** Reissue independent claims over original patent	
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)				(\$) 0.00	

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	430	2252	215	Extension for reply within second month	
1253	980	2253	490	Extension for reply within third month	
1254	1,530	2254	765	Extension for reply within fourth month	
1255	2,080	2255	1,040	Extension for reply within fifth month	
1401	340	2401	170	Notice of Appeal	
1402	340	2402	170	Filing a brief in support of an appeal	
1403	300	2403	150	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,370	2453	685	Petition to revive - unintentional	
1501	1,370	2501	685	Utility issue fee (or reissue)	
1502	490	2502	245	Design issue fee	
1503	660	2503	330	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	790	2809	395	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	790	2810	395	For each additional invention to be examined (37 CFR 1.129(b))	
1801	790	2801	395	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	
Other fee (specify) Petition to Correct Inventorship					130.00

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 130.00

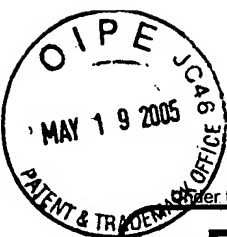
SUBMITTED BY

Name (Print/Type)	Ross Spencer Garsson	Registration No. (Attorney/Agent)	38,150	Telephone	512.370.2870
Signature		Date	May 17, 2005		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 440.00

Complete if Known

Application Number	10/000,746
Filing Date	November 30, 2001
First Named Inventor	Daniel T. Colbert
Examiner Name	Not Yet Assigned
Art Unit	2881
Attorney Docket No.	11321-P011WUC1

METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit
Account
Number
Deposit
Account
Name

23-2426

Winstead Sechrest & Minick P.C.

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
1001 750	2001 375	Utility filing fee	
1002 330	2002 165	Design filing fee	
1003 520	2003 260	Plant filing fee	
1004 750	2004 375	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	
SUBTOTAL (1)			(\$) 0.00

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent	-20** =	X	
Multiple Dependent	-3** =	X	

Large Entity Fee Code	Small Entity Fee Code	Fee Description
1202 18	2202 9	Claims in excess of 20
1201 84	2201 42	Independent claims in excess of 3
1203 280	2203 140	Multiple dependent claim, if not paid
1204 84	2204 42	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
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1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
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1251 110	2251 55	Extension for reply within first month	
1252 410	2252 205	Extension for reply within second month	
1253 930	2253 465	Extension for reply within third month	
1254 1,450	2254 725	Extension for reply within fourth month	
1255 1,970	2255 985	Extension for reply within fifth month	
1401 320	2401 160	Notice of Appeal	
1402 320	2402 160	Filing a brief in support of an appeal	
1403 280	2403 140	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,300	2453 650	Petition to revive - unintentional	
1501 1,300	2501 650	Utility issue fee (or reissue)	
1502 470	2502 235	Design issue fee	
1503 630	2503 315	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	440.00
1809 750	2809 375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 750	2810 375	For each additional invention to be examined (37 CFR 1.129(b))	
1801 750	2801 375	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 440.00

SUBMITTED BY

Name (Print/Type)	Ross Spencer Carson	Registration No. (Attorney/Agent)	38,150	Telephone	512/370-2870
Signature		Date	5/12/03		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

ATTORNEY DOCKET NO.
11321-P011C1D4

PATENT
Serial No. 10/027,753
Patent No. 6,824,755 B2



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application: Colbert, et al.
Serial No.: 10/027,753
Filed: December 21, 2001
Patent No: 6,824,755 B2
Issue Date: November 30, 2004
Confirmation No: 2753
Art Unit: 4761
Examiner: Peter J. Lish
For: METHOD FOR PRODUCING A CATALYST SUPPORT AND COMPOSITIONS
THEREOF

Mail Stop: Petitions
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

PETITION UNDER 37 C.F.R. § 1.48 TO CORRECT THE INVENTORSHIP

05/20/2005 HVUONG1 00000012 10027753

01 FC:1464 130.00 0P

Dear Sir:

This petition under 37 C.F.R. § 1.48 is to correct the inventorship of this patent.
Applicant respectfully petitions the inventors be corrected to reflect the correct inventorship of
this invention to the following:

- 1 -

PETITION UNDER 37 C.F.R. § 1.48
TO CORRECT THE INVENTORSHIP

ATTORNEY DOCKET NO.
11321-P011C1D4

PATENT
Serial No. 10/027,753
Patent No. 6,824,755 B2

Daniel T. Colbert
Hongjie Dai
Jason H. Hafner
Andrew G. Rinzler
Richard E. Smalley
Jie Liu
Kenneth A. Smith
Ting Guo
Pavel Nikolaev
Andreas Thess

The identification of the inventors specified on the original Declaration for this application was incorrect. This misidentification of the inventors was made through error and without deceptive intent.

The Official Filing Receipt for this application was issued on February 15, 2002. A corrected Declaration was filed on July 2, 2003 shortly after the error in the inventorship was discovered and the document was signed by the inventors. A Request for Corrected Official Filing Receipt was filed on October 22, 2003. This Petition is being filed as soon as practicable after signature of all the required documents and issuance of the Letters Patent. Accordingly, this document is being timely filed under 37 CFR § § 1.116 and 1.312.

Attached to this Request are the following documents as specified in 37 CFR § 1.48:

1. A signed statement from all of the inventors indicating that the error in the inventorship occurred without deceptive intention on their part;
2. A copy of the Amended Declaration and Power of Attorney signed by all ten (10) inventors and filed with the PTO on July 2, 2003;

- 2 -

ATTORNEY DOCKET NO.
11321-P011C1D4

PATENT
Serial No. 10/027,753
Patent No. 6,824,755 B2

3. A copy of the Assignment signed by all ten (10) inventors and recorded with the Assignment Branch of the PTO on May 16, 2003 at Reel 014070 Frame 0372;

4. A copy of the Consent for Correction of Inventors, signed by Peter L. Schuerman, Acting Director, Office of Technology Transfer on behalf of Assignee, William Marsh Rice University;

5. Statement Under 37 CFR § 3.73(b), signed by Peter L. Schuerman, Acting Director, Office of Technology Transfer on behalf of Assignee, William Marsh Rice University;

6. Power of Attorney and Correspondence Address Indication Form, signed by Peter L. Schuerman, Acting Director, Office of Technology Transfer on behalf of Assignee, William Marsh Rice University; and

7. A Certificate of Correction with the corrected inventors.

Applicant hereby requests that the inventor list and order of the inventors be changed to reflect the inventors and their order as specified above.

In the event this petition is granted, Applicant further respectfully requests that a Certificate of Correction be issued for this patent.

Enclosed is the Petition Fee in the amount of \$130.00. It is believed that no additional fees are due. However, the Director is hereby authorized to deposit any overpayment and debit any further charges to Deposit Account Number 23-2426 of Winstead Sechrest & Minick P.C.

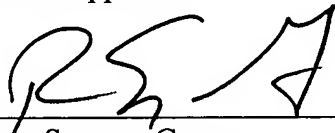
ATTORNEY DOCKET NO.
11321-P011C1D4

PATENT
Serial No. 10/027,753
Patent No. 6,824,755 B2

Applicant respectfully requests that Applicant's attorney be called at the below listed number if it is believed that such a discussion would be helpful in resolving any problems or questions.

Respectfully submitted,
WINSTEAD SECHREST & MINICK P.C.
Attorneys for Applicant

Date: 5/17/05

By: 
Ross Spencer Garsson
Reg. No. 38,150

P.O. Box 50784
Dallas, Texas 75201
Phone: 512.370.2870
Fax: 214.745.5390

Dallas_1 4167213v.1



JUN 21 2004
OTV

INVENTOR STATEMENT

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM NANOTUBE ASSEMBLIES

for which the following applications have been filed:

Appl. Serial No.	Att. Docket No.	Type/Continuity Type:	Filing Date:
60/023,732	None	Provisional	August 8, 1996
PCT/US97/13896	11321-P011WO	International	August 8, 1997
09/242,040	11321-P011WOUS	National Phase	September 13, 1999
10/000,746	11321-P011WUC1	Continuation	November 30, 2001
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
10/670,955	11321-P011CD2D1	Divisional of 10/027,671	September 25, 2003

are the following inventors: Daniel T. Colbert; Hongjie Dai; Jason H. Hafner; Andrew G. Rinzler; Richard E. Smalley; Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev and Andreas Thess.

The error in the original list of inventors was inadvertent and such error arose without any deceptive intent on the part of any of the persons named as an original inventor or on the part of the persons who through error were not originally named as an inventor.



Attorney Docket No.
11321-P011 Series

FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE:



DATE: 6/17/04

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: _____

DATE: _____

Attorney Docket No.
11321-P011 Series

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE:_____

DATE:_____

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE:_____

DATE:_____

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE:_____

DATE:_____

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE:_____

DATE:_____

DALLAS_11391335212
11321-P011WOUS 01/07/2004

INVENTOR STATEMENT

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM NANOTUBE ASSEMBLIES

for which the following applications have been filed:

Appl. Serial No.	Att. Docket No.	Type/Continuity Type	Filing Date
60/023,732	None	Provisional	August 8, 1996
PCT/US97/13896	11321-P011WO	International	August 8, 1997
09/242,040	11321-P011WOUS	National Phase	September 13, 1999
10/000,746	11321-P011WUC1	Continuation	November 30, 2001
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
10/670,955	11321-P011CD2D1	Divisional of 10/027,671	September 25, 2003

are the following inventors: Daniel T. Colbert; Hongjie Dai; Jason H. Hafner; Andrew G. Rinzler; Richard E. Smalley; Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev and Andreas Thess.

The error in the original list of inventors was inadvertent and such error arose without any deceptive intent on the part of any of the persons named as an original inventor or on the part of the persons who through error were not originally named as an inventor.

Attorney Docket No.
11321-P011 Series

FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____

DATE: 7/14/04

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE:_____

DATE:_____

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE:_____

DATE:_____

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE:_____

DATE:_____

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE:_____

DATE:_____

DALLAS 139133572
11321-P011WOUS 01/07/2004

INVENTOR STATEMENT

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM NANOTUBE ASSEMBLIES

for which the following applications have been filed:

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PCT/US97/13896	11321-P011WO	International	August 8, 1997
09/242,040	11321-P011WOUS	National Phase	September 13, 1999
10/000,746	11321-P011WUC1	Continuation	November 30, 2001
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
10/670,955	11321-P011CD2D1	Divisional of 10/027,671	September 25, 2003

are the following inventors: Daniel T. Colbert; Hongjie Dai; Jason H. Hafner; Andrew G. Rinzler; Richard E. Smalley; Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev and Andreas Thess.

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Attorney Docket No.
11321-P011 Series

FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE:  _____ **DATE:** 6/21/04

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: _____ **DATE:** _____

Attorney Docket No.
11321-P011 Series

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE:_____

DATE:_____

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE:_____

DATE:_____

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE:_____

DATE:_____

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE:_____

DATE:_____

DALLAS_1139133522
11321-P011WOUS 01/07/2004

INVENTOR STATEMENT

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM
NANOTUBE ASSEMBLIES**

for which the following applications have been filed:

Appl. Serial No.	Att. Docket No.	Type/Continuity Type:	Filing Date:
60/023,732	None	Provisional	August 8, 1996
PCT/US97/13896	11321-P011WO	International	August 8, 1997
09/242,040	11321-P011WOUS	National Phase	September 13, 1999
10/000,746	11321-P011WUC1	Continuation	November 30, 2001
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10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
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10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
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are the following inventors: Daniel T. Colbert; Hongjie Dai; Jason H. Hafner; Andrew G. Rinzler; Richard E. Smalley; Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev and Andreas Thess.

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Attorney Docket No.
11321-P011 Series

FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____

DATE: _____

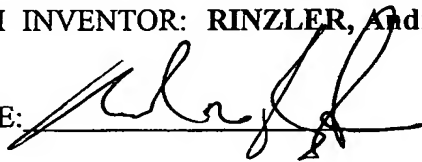
FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE: _____



DATE: 8/10/04

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: _____

DATE: _____

Attorney Docket No.
11321-P011 Series

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE:_____ **DATE:**_____

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE:_____ **DATE:**_____

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE:_____ **DATE:**_____

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE:_____ **DATE:**_____

DALLAS 11391335202
11321-P011WOUS 01/07/2004

INVENTOR STATEMENT

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM NANOTUBE ASSEMBLIES

for which the following applications have been filed:

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10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
10/670,955	11321-P011CD2D1	Divisional of 10/027,671	September 25, 2003

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Attorney Docket No.
11321-P011 Series

FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE:  **DATE:** 6/30/04

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: _____ **DATE:** _____

Attorney Docket No.
11321-P011 Series

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE:_____ **DATE:_____**

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE:_____ **DATE:_____**

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE:_____ **DATE:_____**

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE:_____ **DATE:_____**

DALLAS_11391335212
11321-P011WOUS 01/07/2004

INVENTOR STATEMENT

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM NANOTUBE ASSEMBLIES

for which the following applications have been filed:

Appl. Serial No.	Att. Docket No.	Type/Continuity Type:	Filing Date:
60/023,732	None	Provisional	August 8, 1996
PCT/US97/13896	11321-P011WO	International	August 8, 1997
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10/000,746	11321-P011WUC1	Continuation	November 30, 2001
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10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
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Attorney Docket No.
11321-P011 Series

FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE:  _____

DATE: 07/10/04

Attorney Docket No.
11321-P011 Series

FULL NAME OF SEVENTH INVENTOR: **KENNETH A. SMITH**

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF EIGHTH INVENTOR: **TING GUO**

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF NINTH INVENTOR: **PAVEL NIKOLAEV**

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF TENTH INVENTOR: **ANDREAS THESS**

INVENTOR'S SIGNATURE: _____

DATE: _____

DALLAS 139133522
11321-P011WOUS 01/07/2004

INVENTOR STATEMENT

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM NANOTUBE ASSEMBLIES

for which the following applications have been filed:

Appl. Serial No.	Att. Docket No.	Type/Continuity Type:	Filing Date:
60/023,732	None	Provisional	August 8, 1996
PCT/US97/13896	11321-P011WO	International	August 8, 1997
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10/000,746	11321-P011WUC1	Continuation	November 30, 2001
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
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Attorney Docket No.
11321-P011 Series

FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: _____ **DATE:** _____

Attorney Docket No.
11321-P011 Series

FULL NAME OF SEVENTH INVENTOR: **KENNETH A. SMITH**

INVENTOR'S SIGNATURE: Kenneth A. Smith DATE: July 26, 2004

FULL NAME OF EIGHTH INVENTOR: **TING GUO**

INVENTOR'S SIGNATURE: _____ DATE: _____

FULL NAME OF NINTH INVENTOR: **PAVEL NIKOLAEV**

INVENTOR'S SIGNATURE: _____ DATE: _____

FULL NAME OF TENTH INVENTOR: **ANDREAS THESS**

INVENTOR'S SIGNATURE: _____ DATE: _____

DALLAS_113913352V2
11321-P011WOUS 01/07/2004

INVENTOR STATEMENT

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM NANOTUBE ASSEMBLIES

for which the following applications have been filed:

Appl. Serial No.	Att. Docket No.	Type/Continuity Type:	Filing Date:
60/023,732	None	Provisional	August 8, 1996
PCT/US97/13896	11321-P011WO	International	August 8, 1997
09/242,040	11321-P011WOUS	National Phase	September 13, 1999
10/000,746	11321-P011WUC1	Continuation	November 30, 2001
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10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
10/670,955	11321-P011CD2D1	Divisional of 10/027,671	September 25, 2003

are the following inventors: Daniel T. Colbert; Hongjie Dai; Jason H. Hafner; Andrew G. Rinzler; Richard E. Smalley; Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev and Andreas Thess.

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FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: _____ **DATE:** _____

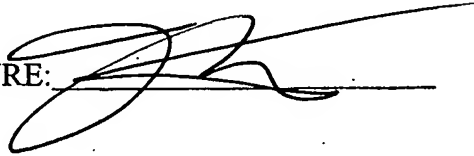
FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE: _____



DATE: 7/7/2004

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE: _____

DATE: _____

DALLAS 11391335202
11321-P011WOUS 01/07/2004

INVENTOR STATEMENT

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM NANOTUBE ASSEMBLIES

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10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
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FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: _____ **DATE:** _____

Attorney Docket No.
11321-P011 Series

FULL NAME OF SEVENTH INVENTOR: **KENNETH A. SMITH**

INVENTOR'S SIGNATURE: _____

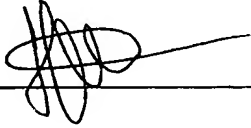
DATE: _____

FULL NAME OF EIGHTH INVENTOR: **TING GUO**

INVENTOR'S SIGNATURE: _____

DATE: _____

FULL NAME OF NINTH INVENTOR: **PAVEL NIKOLAEV**

INVENTOR'S SIGNATURE: _____


DATE: 7.9.04

FULL NAME OF TENTH INVENTOR: **ANDREAS THESS**

INVENTOR'S SIGNATURE: _____

DATE: _____

DALLAS_1139133522
11321-P011WOUS 01/07/2004

Attorney Docket No.
11321-P011 Series

INVENTOR STATEMENT

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM NANOTUBE ASSEMBLIES

for which the following applications have been filed:

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10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
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10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
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Attorney Docket No.
11321-P011 Series

FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE:_____ **DATE:**_____

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE:_____ **DATE:**_____

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE:_____ **DATE:**_____

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE:_____ **DATE:**_____

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE:_____ **DATE:**_____

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE:_____ **DATE:**_____

Attorney Docket No.
11321-P011 Series

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE: _____ DATE: _____

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE: _____ DATE: _____

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE: _____ DATE: _____

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE: Andreas Thess DATE: July 15 2004

DALLAS_1139133522
11321-P011WOUS 01/07/2004

Attorney Docket No.
11321-P011 Series

**AMENDED DECLARATION AND POWER OF ATTORNEY FOR
U.S. NATIONAL PHASE PATENT APPLICATION
CLAIMING PRIORITY TO PCT APPLICATION
(37 CFR 1.63)**

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Our residence, post office address and citizenship are as stated below next to our names.

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**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM
NANOTUBE ASSEMBLIES**

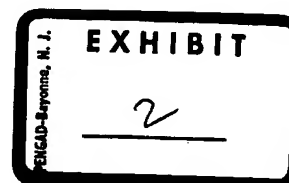
the specification of which:

- ☐ is attached hereto; or
- ☒ was filed on November 30, 2001 as a Continuation Application Number 10/000,746 (Attorney Docket No. 11321-P011WUC1) of U.S. National Phase of 09/242,040 and PCT Application Number PCT/US97/13896 which published as WO 98/05920 on February 12, 1998, corresponding to United States Provisional Patent Application No. 60/023,732, filed August 8, 1996.

The following divisionals of United States Patent Application Serial No. 10/000,746 have been filed (the "Divisional Patent Applications"):

Appl. Serial No.	Att. Docket No.	Continuity Type:	Filing Date:
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
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10/027,568	11321-P011CD11	Divisional	December 21, 2001

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[ORIGINAL BASE/PRIORITY APPLICATION]			<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
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60/023,732

Official Filing Date
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U.S. Parent Application or PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (if applicable)
PCT/US97/13896	8 August 1997	WO 98/05920

**Attorney Docket No.
11321-P011 Series**

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of the law firm of WINSTEAD SECHREST & MINICK P.C. Please direct all correspondence to:

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100 Congress Avenue, Suite 800
Austin, Texas 78701 USA

and direct all telephone calls to **Ross Spencer Garsson, Esq.** at 512-370-2870 and all facsimile communications to 512-370-2850.

We hereby declare that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE:  **DATE:** 2/25/03

RESIDENCE: 1911 Milford St., Houston, TX 77098 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE:_____ **DATE:**_____

RESIDENCE: 365 Pescadero Terrace, Sunnyvale, CA 94086 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE:_____ **DATE:**_____

RESIDENCE: 373 Highland Ave. #203, Somerville, Massachusetts 02144 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE:_____ **DATE:**_____

RESIDENCE: 1713 SW 186th St., Newberry, Florida 32669 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE:_____ **DATE:**_____

RESIDENCE: 1816 Bolsover St., Houston, TX 77081 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: _____

DATE: _____

RESIDENCE: 5825 Gulfton, Apartment 3214
Houston, Texas 77081

CITIZENSHIP: U.S.A.

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE: Kenneth A. Smith **DATE:** 2-25-02

RESIDENCE: 333 Dominion, Apartment 1334
Katy, Texas 77450

CITIZENSHIP: U.S.A.

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE: _____

DATE: _____

RESIDENCE: 2612 Calder Court
Davis, California 95616

CITIZENSHIP: CHINA

POST OFFICE ADDRESS: (Same as Residence)

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INVENTOR'S SIGNATURE: _____

DATE: _____

RESIDENCE: 2232 1/2 TROON
Houston, Texas 77019

CITIZENSHIP: RUSSIA

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE:_____ DATE:_____

**RESIDENCE: Max-Planck-Institut Biochemie; Abteilung Molekulare,
Strukturbiologie am Klopferspitz 189, D-82152 Martinsried, Germany**

CITIZENSHIP: GERMANY

POST OFFICE ADDRESS: (Same as Residence)

AUSTIN_1\208783\1
11321-P011WUC1 02/19/2003

**Attorney Docket No.
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CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
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FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: Hongjie Dai DATE: 2/27/03

RESIDENCE: 365 Pescadero Terrace, Sunnyvale, CA 94086 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____ DATE: _____

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INVENTOR'S SIGNATURE:_____ DATE:_____

**RESIDENCE: Max-Planck-Institut Biochemie; Abteilung Molekulare,
Strukturbiologie am Klopferspitz 189, D-82152 Martinsried, Germany**

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FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 1911 Milford St., Houston, TX 77098 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

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INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 365 Pescadero Terrace, Sunnyvale, CA 94086 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE:  _____ **DATE:** 03/06/03

RESIDENCE: ~~373 Highland Ave. #203, Somerville, Massachusetts 02144 USA~~

3610 Underwood, Houston, Texas, 77025, USA

CITIZENSHIP: United States of America

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11321-P011 Series

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE:_____ DATE:_____

**RESIDENCE: Max-Planck-Institut Biochemie; Abteilung Molekulare,
Strukturbiologie am Klopferspitz 189, D-82152 Martinsried, Germany**

CITIZENSHIP: GERMANY

POST OFFICE ADDRESS: (Same as Residence)

AUSTIN_1\208783\1
11321-P011WUC1 02/19/2003

Attorney Docket No.
11321-P011 Series

**AMENDED DECLARATION AND POWER OF ATTORNEY FOR
U.S. NATIONAL PHASE PATENT APPLICATION
CLAIMING PRIORITY TO PCT APPLICATION
(37 CFR 1.63)**

As below named inventors, we hereby declare that:

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We believe that we are original, first and joint inventors of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM
NANOTUBE ASSEMBLIES**

the specification of which:

- ☐ is attached hereto; or
- ☒ was filed on November 30, 2001 as a Continuation Application Number 10/000,746 (Attorney Docket No. 11321-P011WUC1) of U.S. National Phase of 09/242,040 and PCT Application Number PCT/US97/13896 which published as WO 98/05920 on February 12, 1998, corresponding to United States Provisional Patent Application No. 60/023,732, filed August 8, 1996.

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Appl. Serial No.	Att. Docket No.	Continuity Type:	Filing Date:
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
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[ORIGINAL BASE/PRIORITY APPLICATION]			<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
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U.S. Parent Application or PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (if applicable)
PCT/US97/13896	8 August 1997	WO 98/05920

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FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 1911 Milford St., Houston, TX 77098 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 365 Pescadero Terrace, Sunnyvale, CA 94086 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 373 Highland Ave. #203, Somerville, Massachusetts 02144 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE:  _____ **DATE:** 6/19/03

RESIDENCE: 1713 SW 186th St., Newberry, Florida 32669 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 1816 Bolsover St., Houston, TX 77081 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
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FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE:_____

DATE:_____

RESIDENCE: 5825 Gulfton, Apartment 3214
Houston, Texas 77081

CITIZENSHIP: U.S.A.

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE:_____

DATE:_____

RESIDENCE: 333 Dominion, Apartment 1334
Katy, Texas 77450

CITIZENSHIP: U.S.A.

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE:_____

DATE:_____

RESIDENCE: 2612 Calder Court
Davis, California 95616

CITIZENSHIP: CHINA

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE:_____

DATE:_____

RESIDENCE: 2232 ½ TROON
Houston, Texas 77019

CITIZENSHIP: RUSSIA

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Attorney Docket No.
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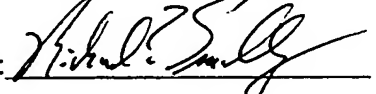
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FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE:  _____ **DATE:** 2/20/03

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INVENTOR'S SIGNATURE:_____ **DATE:**_____

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INVENTOR'S SIGNATURE: [Signature]

DATE: 02/21/03

RESIDENCE: ~~5825 Gulton, Apartment 3214 Houston, Texas 77081~~ 502 Westminster Drive Chapel Hill, North Carolina 27514

02/21/03

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Houston, Texas 77019

CITIZENSHIP: RUSSIA

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE:_____ DATE:_____

**RESIDENCE: Max-Planck-Institut Biochemie; Abteilung Molekulare,
Strukturbiologie am Klopferspitz 189, D-82152 Martinsried, Germany**

CITIZENSHIP: GERMANY

POST OFFICE ADDRESS: (Same as Residence)

AUSTIN_1\208783\1
11321-P011 WUC1 02/19/2003

Attorney Docket No.
11321-P011 Series

**AMENDED DECLARATION AND POWER OF ATTORNEY FOR
U.S. NATIONAL PHASE PATENT APPLICATION
CLAIMING PRIORITY TO PCT APPLICATION
(37 CFR 1.63)**

As below named inventors, we hereby declare that:

Our residence, post office address and citizenship are as stated below next to our names.

We believe that we are original, first and joint inventors of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM
NANOTUBE ASSEMBLIES**

the specification of which:

- ☐ is attached hereto; or
- ☒ was filed on November 30, 2001 as a Continuation Application Number 10/000,746 (Attorney Docket No. 11321-P011WUC1) of U.S. National Phase of 09/242,040 and PCT Application Number PCT/US97/13896 which published as WO 98/05920 on February 12, 1998, corresponding to United States Provisional Patent Application No. 60/023,732, filed August 8, 1996.

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Appl Serial No.	Att. Docket No.	Continuity Type:	Filing Date:
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
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[ORIGINAL BASE/PRIORITY APPLICATION]			<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
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Official Filing Date
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U.S. Parent Application or PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (if applicable)
PCT/US97/13896	8 August 1997	WO 98/05920

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and direct all telephone calls to **Ross Spencer Garsson, Esq.** at 512-370-2870 and all facsimile communications to 512-370-2850.

We hereby declare that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 1911 Milford St., Houston, TX 77098 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE:_____ **DATE:**_____

RESIDENCE: 365 Pescadero Terrace, Sunnyvale, CA 94086 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE:_____ **DATE:**_____

RESIDENCE: 373 Highland Ave. #203, Somerville, Massachusetts 02144 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE:_____ **DATE:**_____

RESIDENCE: 1713 SW 186th St., Newberry, Florida 32669 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE:_____ **DATE:**_____

RESIDENCE: 1816 Bolsover St., Houston, TX 77081 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: _____

DATE: _____

RESIDENCE: 5825 Gulfton, Apartment 3214
Houston, Texas 77081

CITIZENSHIP: U.S.A.

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE: Kenneth A. Smith **DATE:** 2-25-03

RESIDENCE: 333 Dominion, Apartment 1334
Katy, Texas 77450

CITIZENSHIP: U.S.A.

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE: _____

DATE: _____

RESIDENCE: 2612 Calder Court
Davis, California 95616

CITIZENSHIP: CHINA

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE: _____

DATE: _____

RESIDENCE: 2232 ½ TROON
Houston, Texas 77019

CITIZENSHIP: RUSSIA

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INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 1911 Milford St., Houston, TX 77098 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

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INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 365 Pescadero Terrace, Sunnyvale, CA 94086 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 373 Highland Ave. #203, Somerville, Massachusetts 02144 USA

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PN
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Houston, TX 77006 PN

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FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE: _____ DATE: _____

**RESIDENCE: Max-Planck-Institut Biochemie; Abteilung Molekulare,
Strukturbiologie am Klopferspitz 189, D-82152 Martinsried, Germany**

CITIZENSHIP: GERMANY

POST OFFICE ADDRESS: (Same as Residence)

AUSTIN_1\208783\1
11321-P011WUC1 02/19/2003

Attorney Docket No.
11321-P011 Series

**AMENDED DECLARATION AND POWER OF ATTORNEY FOR
U.S. NATIONAL PHASE PATENT APPLICATION
CLAIMING PRIORITY TO PCT APPLICATION
(37 CFR 1.63)**

As below named inventors, we hereby declare that:

Our residence, post office address and citizenship are as stated below next to our names.

We believe that we are original, first and joint inventors of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM
NANOTUBE ASSEMBLIES**

the specification of which:

- ☐ is attached hereto; or
- ☒ was filed on November 30, 2001 as a Continuation Application Number 10/000,746 (Attorney Docket No. 11321-P011WUC1) of U.S. National Phase of 09/242,040 and PCT Application Number PCT/US97/13896 which published as WO 98/05920 on February 12, 1998, corresponding to United States Provisional Patent Application No. 60/023,732, filed August 8, 1996.

The following divisionals of United States Patent Application Serial No. 10/000,746 have been filed (the "Divisional Patent Applications"):

Appl. Serial No.	Att. Docket No.	Continuity Type:	Filing Date:
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001

We further believe that we are original, first and joint inventors of the subject matter which is claimed and for which a patent is sought on the inventions of these Divisional Patent Applications.

Attorney Docket No.
11321-P011 Series

Collectively, United States Patent Application Serial No. 10/000,746 and the Divisional Patent Applications are the "Applications".

We hereby state that we have reviewed and understand the contents of the above identified specifications for each of the Applications, including the claims. We hereby authorize our attorney, or his representative, to insert the Application Number, filing and amendment dates.

We acknowledge the duty to disclose information which is material to the patentability of this application in accordance with 37 CFR 1.56.

We hereby claim foreign priority benefits for each of the Applications under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				Yes	No
[ORIGINAL BASE/PRIORITY APPLICATION]			<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

We hereby claim the benefit for each of the Applications under 35 U.S.C. 119(e) of any United States provisional application(s) listed below:

Application No.
60/023,732

Official Filing Date
August 8, 1996

We hereby claim the benefit for each of the Applications under 35 U.S.C. 120 of any United States application(s), or 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. 112, We acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

U.S. Parent Application or PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (if applicable)
PCT/US97/13896	8 August 1997	WO 98/05920

**Attorney Docket No.
11321-P011 Series**

For each of the Divisional Patent Applications, we further claim the benefit under 35 U.S.C. 120 of United States Patent Application Serial No. 10/000,746, and, insofar as the subject matter of each of the claims of any of the Divisional Patent Application is not disclosed in the this prior United States application in the manner provided by the first paragraph of 35 U.S.C. 112, we acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

POWER OF ATTORNEY: As named inventors, we hereby appoint the following attorneys and/or agents to prosecute this application and transact all business in the Patent and Trademark Office connected therewith:

Ross Spencer Garsson, Reg. No. 38,150
Hugh R. Kress, Reg. No. 36,574
Robert C. Shaddox, Reg. No. 34,011
Henry L. Ehrlich, Reg. No. 39,663
Timothy M. Donoughue, Reg. No. 46,668
Reece A. Scott, Reg. No. 41,297
Edward T. Mickelson, Reg. No. 50,413

of the law firm of WINSTEAD SECHREST & MINICK P.C. Please direct all correspondence to:

Ross Spencer Garsson, Esq.
WINSTEAD SECHREST & MINICK P.C.
100 Congress Avenue, Suite 800
Austin, Texas 78701 USA

and direct all telephone calls to Ross Spencer Garsson, Esq. at 512-370-2870 and all facsimile communications to 512-370-2850.

We hereby declare that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.

INVENTOR'S SIGNATURE: _____ **DATE:** _____

RESIDENCE: 1911 Milford St., Houston, TX 77098 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF SECOND INVENTOR: DAI, Hongjie

INVENTOR'S SIGNATURE:_____ DATE:_____

RESIDENCE: 365 Pescadero Terrace, Sunnyvale, CA 94086 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.

INVENTOR'S SIGNATURE:_____ DATE:_____

RESIDENCE: 373 Highland Ave. #203, Somerville, Massachusetts 02144 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.

INVENTOR'S SIGNATURE:_____ DATE:_____

RESIDENCE: 1713 SW 186th St., Newberry, Florida 32669 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.

INVENTOR'S SIGNATURE:_____ DATE:_____

RESIDENCE: 1816 Bolsover St., Houston, TX 77081 USA

CITIZENSHIP: United States of America

POST OFFICE ADDRESS: (Same as Residence)

Attorney Docket No.
11321-P011 Series

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE: Andreas Thess DATE: 02/26/2003

RESIDENCE: Max-Planck-Institut Biochemie; Abteilung Molekulare, *
Strukturbiologie am Klopferspitz 189, D-82152 Martinsried, Germany

CITIZENSHIP: GERMANY

POST OFFICE ADDRESS: (Same as Residence)

AUSTIN_112087831
11321-P011WUC1 02/19/2003

*

Andreas Thess' residence:

Andreas Kemmler Weg 3
72127 Kusterdingen
Germany

02/26/2003

Th



UNITED STATES
PATENT AND
TRADEMARK OFFICE



OCTOBER 24, 2003

Chief Financial Officer and Chief Administrative Officer
Washington, DC 20231
www.uspto.gov

WINSTEAD SECHREST & MINICK, P.C.
ROSS SPENCER GARSSON
P.O. BOX 50784
1201 MAIN STREET
DALLAS, TX 75250-07984



102452527A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 05/16/2003

REEL/FRAME: 014070/0372

NUMBER OF PAGES: 42

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

LIU, JIE

DOC DATE: 02/21/2003

ASSIGNOR:

SMITH, KENNETH A

DOC DATE: 04/04/2003

ASSIGNOR:

GUO, TING

DOC DATE: 04/07/2003

ASSIGNOR:

NIKOLAEV, PAVEL

DOC DATE: 02/21/2003

ASSIGNOR:

THESS, ANDREAS

DOC DATE: 02/26/2003

ASSIGNOR:

COLBERT, DANIEL T.

DOC DATE: 02/25/2003

ASSIGNOR:

DAI, HONGJIE

DOC DATE: 02/27/2003



ASSIGNOR:

HAFNER, JASON H.

DOC DATE: 03/06/2003

ASSIGNOR:

RINZLER, ANDREW G.

DOC DATE: 04/16/2003

ASSIGNOR:

SMALLEY, RICHARD E.

DOC DATE: 02/20/2003

ASSIGNEE:

WILLIAM MARSH RICE UNIVERSITY
6100 MAIN STREET
HOUSTON, TEXAS 77005

SERIAL NUMBER: 10000746
PATENT NUMBER:

FILING DATE: 11/30/2001
ISSUE DATE:

SERIAL NUMBER: 10028231
PATENT NUMBER:

FILING DATE: 12/21/2001
ISSUE DATE:

SERIAL NUMBER: 10027671
PATENT NUMBER:

FILING DATE: 12/21/2001
ISSUE DATE:

SERIAL NUMBER: 10038204
PATENT NUMBER:

FILING DATE: 12/21/2001
ISSUE DATE:

SERIAL NUMBER: 10027753
PATENT NUMBER:

FILING DATE: 12/21/2001
ISSUE DATE:

SERIAL NUMBER: 10027670
PATENT NUMBER:

FILING DATE: 12/21/2001
ISSUE DATE:

SERIAL NUMBER: 10027750
PATENT NUMBER:

FILING DATE: 12/21/2001
ISSUE DATE:

SERIAL NUMBER: 10027726
PATENT NUMBER:

FILING DATE: 12/21/2001
ISSUE DATE:

SERIAL NUMBER: 10027628
PATENT NUMBER:

FILING DATE: 12/21/2001
ISSUE DATE:

SERIAL NUMBER: 10027668
PATENT NUMBER:

FILING DATE: 12/21/2001
ISSUE DATE:

SERIAL NUMBER: 10027568
PATENT NUMBER:

FILING DATE: 12/21/2001
ISSUE DATE:

TONYA LEE, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

05-20-2003

Form PTO-1595

(Rev. 10/02)

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OMB No. 0651-0027 (exp. 6/30/2005)

U.S. DEPARTMENT OF COMMERCE
U.S. Patent and Trademark Office

102452527

Tab settings ⇌ ⇌ ⇌ ▼ ▼ ▼ ▼ ▼

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev;
Andreas Thess; Daniel T. Colbert; Hongjie Dai; Jason
H. Hafner; Andrew G. Rinzler; and Richard E. SmalleyAdditional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____

Execution Date: 2/21/03; 4/4/03; 4/7/03; 2/21/03;
2/26/03; 2/25/03; 2/27/03; 3/6/03;
4/16/03; and 2/20/03

2. Name and address of receiving party(ies)

Name: William Marsh Rice UniversityInternal Address: 6100 Main StreetStreet Address: 6100 Main StreetCity: Houston State: TX Zip: 77005Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s) 10/000,746; 10/028,23110/027,671; 10/038,204; 10/027,753; 10/027,670;10/027,750; 10/027,726; 10/027,628 Additional numbers attached? ☒ Yes ☐ No

B. Patent No.(s) _____

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Ross Spencer GarssonInternal Address: Winstead Sechrest & Minick P.CStreet Address: P.O. Box 507841201 Main StreetCity: Dallas State: TX Zip: 75250-07846. Total number of applications and patents involved: 117. Total fee (37 CFR 3.41).....\$ 440.00☒ Enclosed☐ Authorized to be charged to deposit account

8. Deposit account number:

23-2426 (11321-P011WUC1)

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9. Signature

UNELLER 00000133 10000746

440.00 CP

Ross Spencer Garsson

Name of Person Signing

Signature

Total number of pages including cover sheet, attachments, and documents: 42

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Washington, D.C. 20231OFFICE OF PUBLIC RECORDS
2003 MAY 16 AM 7:40
FINANCE SECTION
Date05/19/2003
01 FC:8021

Continuation of Recordation Form Cover Sheet (Form PTO-1595)

4. Application number(s) or patent number(s):

A. Patent Application No.(s):

10/027,668; and 10/027,568

AUSTIN_12148651
11321-P011WUC1 05/09/2003

ASSIGNMENT

WHEREAS, the undersigned inventor(s), hereinafter called the "Assignor", has invented a new and useful invention entitled:

MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM
NANOTUBE ASSEMBLIES

_____ for which reference a full description is here made in an application for Letters Patent of the United States filed herewith.

 X for which reference a full description is here made in an application for the United States Patent Application Serial No. 10/000,746 (Attorney Docket No. 11321-P011WUC1), filed on November 30, 2001, which application claims priority as follows:

Application:	Continuity Type:	Parent Application:	Parent Filing Date:
10/000,746	Continuation	United States National Phase	September 13, 1999
09/242,040	United States National Phase	PCT Application	August 8, 1997
PCT/US97/13896	PCT Application	60/023,732	August 8, 1996

WHEREAS, the "Assignor", has invented other new and useful inventions that were disclosed in United States Patent Application Serial No. 10/000,746, for which the following divisionals of United States Patent Application Serial No. 10/000,746 have been filed:

Appl. Serial No.	Att. Docket No.	Continuity Type:	Filing Date:
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001

WHEREAS, in addition to the entering in the national phase in the United States, the International Patent Application Serial No. PCT/US97/13896 has entered into foreign national phases in the following countries:

Application Serial No.	Att. Docket No.	Country:
97938159.7	11321-P011WOEP	EC
508225/98	11321-P011WOJP	Japan

WHEREAS, collectively, all of the above-referenced patent applications are the "Applications."

WHEREAS, William Marsh Rice University, a University having a principal office and place of business at 6100 Main Street, Houston, Texas 77005, hereinafter called the "Assignee", is desirous of acquiring the entire right, title and interest in and to said inventions, the Applications above identified, and in, to and under Letters Patent which may be obtained for said inventions, as hereinafter more fully set forth;

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN, be it known that for valuable and legally sufficient consideration, the receipt of which by the Assignor from the Assignee is hereby acknowledged, the Assignor has sold, assigned and transferred, and by these presents does sell, assign and transfer unto the Assignee, its successors and assigns, the entire right, title and interest in and to the inventions and the Applications hereinabove identified, and all Letters Patent that may issue for the said inventions, and all divisions, reissues, substitutions, continuations, and extensions thereof, to have and to hold for the sole and exclusive use and benefit of the Assignee, its successors and assigns to the full end of the term for which any and all of said Letters Patent for the said inventions may issue.

FURTHER, be it known that the Assignor has sold, assigned and transferred, and by these presents does sell, assign and transfer unto the Assignee, its successors and assigns, the entire foreign rights to the inventions disclosed in the Applications, in all countries of the world, including the right to file applications and obtain patents under the terms of the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, and of the European Patent Convention, and further agrees to execute any and all patent applications, assignments, affidavits, and any other papers in connection therewith necessary to perfect such patent rights.

And the Assignor does hereby covenant and agree, for himself/herself and his/her legal representatives, that they will assist the Assignee in the prosecution of the Applications herein identified; in the making and prosecution of any other applications for Letters Patent that the Assignee may elect to make covering the inventions herein identified, as hereinbefore set forth, including any application for reissue, application for reexamination, application for foreign patent rights, or any proceeding in the United States Patent and Trademark Office affecting the inventions, investing in the Assignee exclusive title in and to all such other applications and Letters Patent; and in the prosecution of any interference which may arise involving said inventions, or any application or Letters Patent herein contemplated; that they will promptly execute and deliver to the Assignee any and all additional papers and make all lawful oaths which may be requested by the Assignee to fully carry out the terms of this assignment; and

further that they will communicate to Assignee, or to its successors, assigns, and legal representatives, any facts known respecting said inventions, and at the expense of the Assignee, testify in any legal proceedings, and generally do everything possible to aid the Assignee, its successors, assigns and nominees to obtain and enforce proper patent protection for said inventions in all countries.

And the Commissioner of Patents and Trademarks is hereby authorized and requested to issue all Letters Patent to the Assignee in accordance with the terms of the assignment.

IN TESTIMONY WHEREOF, the Assignor has hereunto set his hands on the date indicated below.

DANIEL T. COLBERT
a resident of Houston, Texas

Dated: 2/25/03



HONGJIE DAI
a resident of Sunnyvale, California

Dated: _____

JASON H. HAFNER
a resident of Somerville, Massachusetts

Dated: _____

ATTORNEY DOCKET NO.
11321-P011 Series

PATENT

ANDREW G. RINZLER
a resident of Houston, Texas

Dated: _____

RICHARD E. SMALLEY
a resident of Houston, Texas

Dated: _____

ASSIGNMENT

WHEREAS, the undersigned inventor(s), hereinafter called the "Assignor", has invented a new and useful invention entitled:

MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM
NANOTUBE ASSEMBLIES

_____ for which reference a full description is here made in an application for Letters Patent of the United States filed herewith.

X for which reference a full description is here made in an application for the United States Patent Application Serial No. 10/000,746 (Attorney Docket No. 11321-P011WUC1), filed on November 30, 2001, which application claims priority as follows:

Application:	Continuity Type:	Parent Application:	Parent Filing Date:
10/000,746	Continuation	United States National Phase	September 13, 1999
09/242,040	United States National Phase	PCT Application	August 8, 1997
PCT/US97/13896	PCT Application	60/023,732	August 8, 1996

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Appl. Serial No.	Att. Docket No.	Continuity Type:	Filing Date:
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10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
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10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
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10/027,568	11321-P011C1D11	Divisional	December 21, 2001

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NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN, be it known that for valuable and legally sufficient consideration, the receipt of which by the Assignor from the Assignee is hereby acknowledged, the Assignor has sold, assigned and transferred, and by these presents does sell, assign and transfer unto the Assignee, its successors and assigns, the entire right, title and interest in and to the inventions and the Applications hereinabove identified, and all Letters Patent that may issue for the said inventions, and all divisions, reissues, substitutions, continuations, and extensions thereof, to have and to hold for the sole and exclusive use and benefit of the Assignee, its successors and assigns to the full end of the term for which any and all of said Letters Patent for the said inventions may issue.

FURTHER, be it known that the Assignor has sold, assigned and transferred, and by these presents does sell, assign and transfer unto the Assignee, its successors and assigns, the entire foreign rights to the inventions disclosed in the Applications, in all countries of the world, including the right to file applications and obtain patents under the terms of the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, and of the European Patent Convention, and further agrees to execute any and all patent applications, assignments, affidavits, and any other papers in connection therewith necessary to perfect such patent rights.

And the Assignor does hereby covenant and agree, for himself/herself and his/her legal representatives, that they will assist the Assignee in the prosecution of the Applications herein identified; in the making and prosecution of any other applications for Letters Patent that the Assignee may elect to make covering the inventions herein identified, as hereinbefore set forth, including any application for reissue, application for reexamination, application for foreign patent rights, or any proceeding in the United States Patent and Trademark Office affecting the inventions, investing in the Assignee exclusive title in and to all such other applications and Letters Patent; and in the prosecution of any interference which may arise involving said inventions, or any application or Letters Patent herein contemplated; that they will promptly execute and deliver to the Assignee any and all additional papers and make all lawful oaths which may be requested by the Assignee to fully carry out the terms of this assignment; and

further that they will communicate to Assignee, or to its successors, assigns, and legal representatives, any facts known respecting said inventions, and at the expense of the Assignee, testify in any legal proceedings, and generally do everything possible to aid the Assignee, its successors, assigns and nominees to obtain and enforce proper patent protection for said inventions in all countries.

And the Commissioner of Patents and Trademarks is hereby authorized and requested to issue all Letters Patent to the Assignee in accordance with the terms of the assignment.

IN TESTIMONY WHEREOF, the Assignor has hereunto set his hands on the date indicated below.

DANIEL T. COLBERT
a resident of Houston, Texas

Dated: _____

HONGJIE DAI
a resident of Sunnyvale, California

Dated: 2/27/03

Hongjie Dai

JASON H. HAFNER
a resident of Somerville, Massachusetts

Dated: _____

ATTORNEY DOCKET NO.
11321-P011 Series

PATENT

ANDREW G. RINZLER
a resident of Houston, Texas

Dated: _____

RICHARD E. SMALLEY
a resident of Houston, Texas

Dated: _____

ASSIGNMENT

WHEREAS, the undersigned inventor(s), hereinafter called the "Assignor", has invented a new and useful invention entitled:

**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM
NANOTUBE ASSEMBLIES**

_____ for which reference a full description is here made in an application for Letters Patent of the United States filed herewith.

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10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001

WHEREAS, in addition to the entering in the national phase in the United States, the International Patent Application Serial No. PCT/US97/13896 has entered into foreign national phases in the following countries:

Application Serial No.	Att. Docket No.	Country:
97938159.7	11321-P011WOEP	EC
508225/98	11321-P011WOJP	Japan

WHEREAS, collectively, all of the above-referenced patent applications are the "Applications."

WHEREAS, **William Marsh Rice University**, a University having a principal office and place of business at 6100 Main Street, Houston, Texas 77005, hereinafter called the "Assignee", is desirous of acquiring the entire right, title and interest in and to said inventions, the Applications above identified, and in, to and under Letters Patent which may be obtained for said inventions, as hereinafter more fully set forth;

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN, be it known that for valuable and legally sufficient consideration, the receipt of which by the Assignor from the Assignee is hereby acknowledged, the Assignor has sold, assigned and transferred, and by these presents does sell, assign and transfer unto the Assignee, its successors and assigns, the entire right, title and interest in and to the inventions and the Applications hereinabove identified, and all Letters Patent that may issue for the said inventions, and all divisions, reissues, substitutions, continuations, and extensions thereof, to have and to hold for the sole and exclusive use and benefit of the Assignee, its successors and assigns to the full end of the term for which any and all of said Letters Patent for the said inventions may issue.

FURTHER, be it known that the Assignor has sold, assigned and transferred, and by these presents does sell, assign and transfer unto the Assignee, its successors and assigns, the entire foreign rights to the inventions disclosed in the Applications, in all countries of the world, including the right to file applications and obtain patents under the terms of the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, and of the European Patent Convention, and further agrees to execute any and all patent applications, assignments, affidavits, and any other papers in connection therewith necessary to perfect such patent rights.

And the Assignor does hereby covenant and agree, for himself/herself and his/her legal representatives, that they will assist the Assignee in the prosecution of the Applications herein identified; in the making and prosecution of any other applications for Letters Patent that the Assignee may elect to make covering the inventions herein identified, as hereinbefore set forth, including any application for reissue, application for reexamination, application for foreign patent rights, or any proceeding in the United States Patent and Trademark Office affecting the inventions, investing in the Assignee exclusive title in and to all such other applications and Letters Patent; and in the prosecution of any interference which may arise involving said inventions, or any application or Letters Patent herein contemplated; that they will promptly execute and deliver to the Assignee any and all additional papers and make all lawful oaths which may be requested by the Assignee to fully carry out the terms of this assignment; and

further that they will communicate to Assignee, or to its successors, assigns, and legal representatives, any facts known respecting said inventions, and at the expense of the Assignee, testify in any legal proceedings, and generally do everything possible to aid the Assignee, its successors, assigns and nominees to obtain and enforce proper patent protection for said inventions in all countries.

And the Commissioner of Patents and Trademarks is hereby authorized and requested to issue all Letters Patent to the Assignee in accordance with the terms of the assignment.

IN TESTIMONY WHEREOF, the Assignor has hereunto set his hands on the date indicated below:

DANIEL T. COLBERT
a resident of Houston, Texas

Dated: _____

HONGJIE DAI
a resident of Sunnyvale, California

Dated: _____

JASON H. HAFNER
a resident of ~~Somerville, Massachusetts~~
Houston, Texas *JH*

Dated: 03/06/03

Jason H. Hafner

ANDREW G. RINZLER
a resident of Houston, Texas

Dated: _____

RICHARD E. SMALLEY
a resident of Houston, Texas

Dated: _____

ASSIGNMENT

WHEREAS, the undersigned inventor(s), hereinafter called the "Assignor", has invented a new and useful invention entitled:

**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM
NANOTUBE ASSEMBLIES**

_____ for which reference a full description is here made in an application for Letters Patent of the United States filed herewith.

 X for which reference a full description is here made in an application for the United States Patent Application Serial No. 10/000,746 (Attorney Docket No. 11321-P011WUC1), filed on November 30, 2001, which application claims priority as follows:

Application:	Continuity Type:	Parent Application:	Parent Filing Date:
10/000,746	Continuation	United States National Phase	September 13, 1999
09/242,040	United States National Phase	PCT Application	August 8, 1997
PCT/US97/13896	PCT Application	60/023,732	August 8, 1996

WHEREAS, the "Assignor", has invented other new and useful inventions that were disclosed in United States Patent Application Serial No. 10/000,746, for which the following divisionals of United States Patent Application Serial No. 10/000,746 have been filed:

Appl. Serial No.	Att. Docket No.	Continuity Type:	Filing Date:
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
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DANIEL T. COLBERT
a resident of Houston, Texas

Dated: _____

HONGJIE DAI
a resident of Sunnyvale, California

Dated: _____

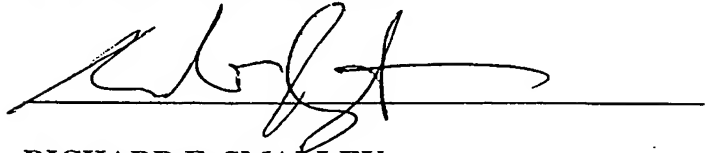
JASON H. HAFNER
a resident of Somerville, Massachusetts

Dated: _____

ANDREW G. RINZLER

a resident of Houston, Texas NEWBERRY, FL AGR.
4/16/03

Dated: 4/16/03



RICHARD E. SMALLEY

a resident of Houston, Texas

Dated: _____

ASSIGNMENT

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DANIEL T. COLBERT
a resident of Houston, Texas

Dated: _____

HONGJIE DAI
a resident of Sunnyvale, California

Dated: _____

JASON H. HAFNER
a resident of Somerville, Massachusetts

Dated: _____

ATTORNEY DOCKET NO.
11321-P011 Series

PATENT

ANDREW G. RINZLER
a resident of Houston, Texas

Dated: _____

RICHARD E. SMALLEY
a resident of Houston, Texas

Dated: 2/20/03

 _____

AUSTIN_1\208780\1
11321-P011WUC1 02/19/2003

ASSIGNMENT

WHEREAS, the undersigned inventor(s), hereinafter called the "Assignor", has invented a new and useful invention entitled:

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IN TESTIMONY WHEREOF, the Assignor has hereunto set his hands on the date indicated below.

12/02/21/03

JIE LIU

a resident of ~~Houston, Texas~~ Chapel Hill, North Carolina

Dated: 02/21/03



KENNETH A. SMITH

a resident of Katy, Texas

Dated: _____

TING GUO

a resident of Davis, California

Dated: _____

PAVEL NIKOLAEV

a resident of Houston, Texas

Dated: _____

ATTORNEY DOCKET NO.
11321-P011 Series

PATENT

ANDREAS THESS
a resident of Martinsried, Germany

Dated: _____

ASSIGNMENT

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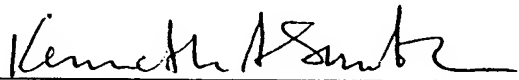
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JIE LIU
a resident of Houston, Texas

Dated: _____

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Dated: 4.4.03



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Dated: _____

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Dated: _____

ANDREAS THESS
a resident of Martinsried, Germany

Dated: _____

AUSTIN_11211971V1
11321-P011WUC1 04/04/2003

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10/038,204	11321-P011C1D3	Divisional	December 21, 2001
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10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001

WHEREAS, in addition to the entering in the national phase in the United States, the International Patent Application Serial No. PCT/US97/13896 has entered into foreign national phases in the following countries:

Application Serial No.	Att. Docket No.	Country:
7938159.7	11321-P011WOEP	EC
808225/98	11321-P011WOJP	Japan

WHEREAS, collectively, all of the above-referenced patent applications are the "Applications."

WHEREAS, William Marsh Rice University, a University having a principal office and place of business at 6100 Main Street, Houston, Texas 77005, hereinafter called the "Assignee", is desirous of acquiring the entire right, title and interest in and to said inventions, the Applications above identified, and in, to and under Letters Patent which may be obtained for said inventions, as hereinafter more fully set forth;

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN, be it known that for valuable and legally sufficient consideration, the receipt of which by the Assignor from the Assignee is hereby acknowledged, the Assignor has sold, assigned and transferred, and by these presents does sell, assign and transfer unto the Assignee, its successors and assigns, the entire right, title and interest in and to the inventions and the Applications hereinabove identified, and all Letters Patent that may issue for the said inventions, and all divisions, reissues, substitutions, continuations, and extensions thereof, to have and to hold for the sole and exclusive use and benefit of the Assignee, its successors and assigns to the full end of the term for which any and all of said Letters Patent for the said inventions may issue.

FURTHER, be it known that the Assignor has sold, assigned and transferred, and by these presents does sell, assign and transfer unto the Assignee, its successors and assigns, the entire foreign rights to the inventions disclosed in the Applications, in all countries of the world, including the right to file applications and obtain patents under the terms of the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, and of the European Patent Convention, and further agrees to execute any and all patent applications, assignments, affidavits, and any other papers in connection therewith necessary to perfect such patent rights.

And the Assignor does hereby covenant and agree, for himself/herself and his/her legal representatives, that they will assist the Assignee in the prosecution of the Applications herein identified; in the making and prosecution of any other applications for Letters Patent that the Assignee may elect to make covering the inventions herein identified, as hereinbefore set forth, including any application for reissue, application for reexamination, application for foreign patent rights, or any proceeding in the United States Patent and Trademark Office affecting the inventions, investing in the Assignee exclusive title in and to all such other applications and Letters Patent; and in the prosecution of any interference which may arise involving said inventions, or any application or Letters Patent herein contemplated; that they will promptly execute and deliver to the Assignee any and all additional papers and make all lawful oaths which may be requested by the Assignee to fully carry out the terms of this assignment; and

further that they will communicate to Assignee, or to its successors, assigns, and legal representatives, any facts known respecting said inventions, and at the expense of the Assignee, testify in any legal proceedings, and generally do everything possible to aid the Assignee, its successors, assigns and nominees to obtain and enforce proper patent protection for said inventions in all countries.

And the Commissioner of Patents and Trademarks is hereby authorized and requested to issue all Letters Patent to the Assignee in accordance with the terms of the assignment.

IN TESTIMONY WHEREOF, the Assignor has hereunto set his hands on the date indicated below.

JIE LIU
a resident of Houston, Texas

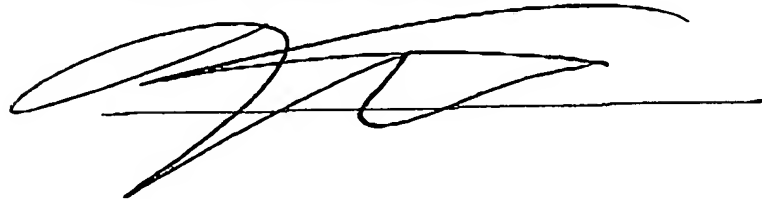
Dated: _____

KENNETH A. SMITH
a resident of Katy, Texas

Dated: _____

TING GUO
a resident of Davis, California

Dated: 4/7/03



PAVEL NIKOLAEV
a resident of Houston, Texas

Dated: _____

ATTORNEY DOCKET NO.
11321-P011 Series

PATENT

ANDREAS THESS
a resident of Martinsried, Germany

Dated: _____

AUSTIN_1\208780\1
11321-P011WUC1 02/19/2003

ASSIGNMENT

WHEREAS, the undersigned inventor(s), hereinafter called the "Assignor", has invented a new and useful invention entitled:

MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM
NANOTUBE ASSEMBLIES

_____ for which reference a full description is here made in an application for Letters Patent of the United States filed herewith.

X for which reference a full description is here made in an application for the United States Patent Application Serial No. 10/000,746 (Attorney Docket No. 11321-P011WUC1), filed on November 30, 2001, which application claims priority as follows:

Application:	Continuity Type:	Parent Application:	Parent Filing Date:
10/000,746	Continuation	United States National Phase	September 13, 1999
09/242,040	United States National Phase	PCT Application	August 8, 1997
PCT/US97/13896	PCT Application	60/023,732	August 8, 1996

WHEREAS, the "Assignor", has invented other new and useful inventions that were disclosed in United States Patent Application Serial No. 10/000,746, for which the following divisionals of United States Patent Application Serial No. 10/000,746 have been filed:

Appl Serial No.	Att. Docket No.	Continuity Type:	Filing Date:
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
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10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001

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And the Commissioner of Patents and Trademarks is hereby authorized and requested to issue all Letters Patent to the Assignee in accordance with the terms of the assignment.

IN TESTIMONY WHEREOF, the Assignor has hereunto set his hands on the date indicated below.

JIE LIU

a resident of Houston, Texas

Dated: _____

KENNETH A. SMITH

a resident of Katy, Texas

Dated: _____

TING GUO

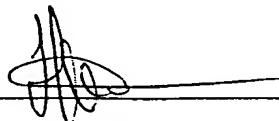
a resident of Davis, California

Dated: _____

PAVEL NIKOLAEV

a resident of Houston, Texas

Dated: 2.21.03



ANDREAS THESS
a resident of Martinsried, Germany

Dated: _____

AUSTIN_1\208780\1
11321-P011WUC1 02/19/2003

ASSIGNMENT

WHEREAS, the undersigned inventor(s), hereinafter called the "Assignor", has invented a new and useful invention entitled:

MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM
NANOTUBE ASSEMBLIES

_____ for which reference a full description is here made in an application for Letters Patent of the United States filed herewith.

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10/036,684	11321-P011C1D5	Divisional	December 21, 2001
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IN TESTIMONY WHEREOF, the Assignor has hereunto set his hands on the date indicated below.

JIE LIU

a resident of Houston, Texas

Dated: _____

KENNETH A. SMITH

a resident of Katy, Texas

Dated: _____

TING GUO

a resident of Davis, California

Dated: _____

PAVEL NIKOLAEV

a resident of Houston, Texas

Dated: _____

ATTORNEY DOCKE, NO.
11321-P011 Series

PATENT

ANDREAS THESS
a resident of Martinsried, Germany

Kusterdingen

02/26/2003

TPB

Dated: 02/26/2003

Andreas TPB

AUSTIN_1\208780\1
11321-P011WUCI 02/19/2003

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Application Number

10/000,746

Filing Date

11/30/2001

First Named Inventor

Daniel T. Colbert

Group Art Unit

2881

Examiner Name

Not Yet Assigned

Total Number of Pages in This Submission **44**

Attorney Docket Number

11321-P011WUC1

ENCLOSURES (check all that apply)

Fee Transmittal Form



Fee Attached



Amendment / Reply



After Final



Affidavits/declaration(s)



Extension of Time Request



Express Abandonment Request



Information Disclosure Statement



Certified Copy of Priority Document(s)

Response to Missing Parts/
Incomplete ApplicationResponse to Missing Parts
under 37 CFR 1.52 or 1.53Assignment Papers
(for an Application)

Drawing(s)



Licensing-related Papers



Petition

Petition to Convert to a
Provisional ApplicationPower of Attorney, Revocation
Change of Correspondence
Address

Terminal Disclaimer



Request for Refund



CD, Number of CD(s) _____

After Allowance Communication
to GroupAppeal Communication to Board
of Appeals and InterferencesAppeal Communication to Group
(Appeal Notice, Brief, Reply Brief)

Proprietary Information



Status Letter

Other Enclosure(s) (please
identify below):

Recordation Cover Sheet; Check No.

002720 (\$440.00); Postal

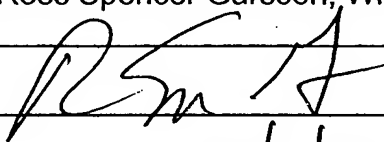
Card Receipt Card

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENTFirm
or
Individual name

Ross Spencer Garsson, Winstead Sechrest & Minick P.C.

Signature



Date

05/12/03

CERTIFICATE OF MAILING

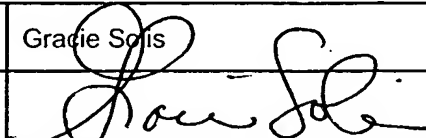
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date:

05/12/2003

Typed or printed name

Gracie Sois

Signature



Date

05/12/2003

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

ASSIGNEE CONSENT FOR CORRECTION OF INVENTORS

Assignee hereby consents to the Correction of Inventorship for the applications related to the invention(s) entitled:

**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM
NANOTUBE ASSEMBLIES**

for which the following applications have been filed:

Appl Serial No.	Att Docket No.	Type/Continuity Type:	Filing Date:
60/023,732	None	Provisional	August 8, 1996
PCT/US97/13896	11321-P011WO	International	August 8, 1997
09/242,040	11321-P011WOUS	National Phase	September 13, 1999
10/000,746	11321-P011WUC1	Continuation	November 30, 2001
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
10/670,955	11321-P011CD2D1	Divisional of 10/027,671	September 25, 2003

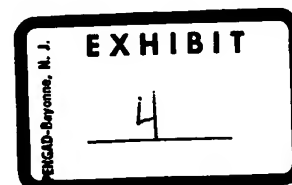
The correct Inventors of the invention relating to these applications are: Daniel T. Colbert; Hongjie Dai; Jason H. Hafner; Andrew G. Rinzler; Richard E. Smalley; Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev and Andreas Thess.

WILLIAM MARSH RICE UNIVERSITY

Date: 6/22/, 2004

By: Peter L. Schuerman
Peter L. Schuerman
Acting Director, Office of Technology Transfer

DALLAS_1139135041
11321-P011WOUS 06/15/2004



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: William March Rice University
Application No./Patent No.: 10/027,753 Filed/Issue Date: December 21, 2001
Entitled: Method for Producing a Catalyst Support and Compositions Thereof
William March Rice University, a University
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by, percentage) of its ownership interest is _____ %

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 014070, Frame 0372, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☐ Copies of assignments or other documents in the chain of title are attached.
[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

6/22/04
Date

Peter L. Schuerman

Typed or printed name

Peter L. Schuerman

Signature

Acting Director, Office of Technology Transfer

Title

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.





PTO/SB/B1 (06-03)
Approved for use through 11/30/2005. OMB 0661-0035
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**POWER OF ATTORNEY
and
CORRESPONDENCE ADDRESS
INDICATION FORM**

Application Number	10/027,753
Filing Date	December 21, 2001
First Named Inventor	Daniel T. Colbert
Title	Method for Producing a Catalyst...
Art Unit	1754
Examiner Name	Peter J. Lish
Attorney Docket Number	11321-P011C1D4

I hereby appoint:

☐ Practitioners at Customer Number:

OR

☒ Practitioner(s) named below:

Name	Registration Number
Ross Spencer Garsson	Reg. No. 38,150
Robert C. Shaddox	Reg. No. 34,011
Henry L. Ehrlich	Reg. No. 39,011
Edward T. Mickelson	Reg. No. 50,413

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:

☐ The above-mentioned Customer Number:

OR

☐ The address associated with Customer Number:

OR

<input checked="" type="checkbox"/>	Firm or Individual Name	Winstead Sechrest & Minick P.C.				
Address		P.O. Box 50784				
Address						
City		Dallas	State	Texas	Zip	75201
Country		US				
Telephone		512.370.2870	Fax	512.370.2850		

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

SIGNATURE of Applicant or Assignee of Record

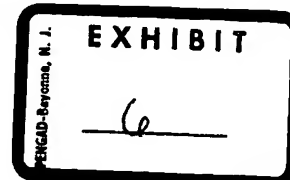
Name	Peter L. Schuerman, Acting Director, Office of Technology Transfer, William Marsh Rice University		
Signature			
Date	6/22/04	Telephone	(713) 348-6231

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☒ Total of 16 forms are submitted.

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



UNITED STATES PATENT AND TRADEMARK OFFICE CERTIFICATE OF CORRECTION

PATENT NO. : 6,824,755 B2
DATED : November 30, 2004
INVENTOR(S) : Colbert, et al.

It is certified that error appears in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

The correct inventors are:

Daniel T. Colbert, Houston, TX (US);
Hongjie Dai, Sunnyvale, CA (US);
Jason H. Hafner, Houston, TX (US);
Andre G. Rinzler, Houston, TX (US);
Richard E. Smalley, Houston, TX (US);
Jie Liu, Chapel Hill, NC (US);
Kenneth A. Smith, Katy, TX (US);
Ting Guo, Davis, CA (CN);
Pavel Nikolaev, Houston, Texas (US);
Andreas Thess, Kusterdingen, DE (DE)

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